

KYTC Guidelines and Checklist for UPWP

The Unified Planning Work Program (UPWP): The UPWP lists the transportation studies and tasks to be performed by the MPO staff or a member agency. Because the UPWP reflects local priorities, the content differs from one metropolitan area to another. However, the UPWP contains several uniform elements:

- The planning tasks and studies that will be conducted over a one- to two-year period;
- All federally funded studies as well as all relevant state and local planning activities conducted without federal funds;
- Funding sources identified for each task;
- A schedule of activities;
- The agency responsible for each task or study; and
- Product of each work item.

A work program must be developed annually for each MPO. The MPO is responsible for preparing the UPWP consistent with federal and state regulations. The respective MPO coordinator from the Division of Multimodal Programs is responsible for reviewing the document and coordination with the MPO, Federal Highway Administration (FHWA), and the Federal Transit Administration (FTA). FHWA and FTA are responsible for coordinating review and comments on the contents of the UPWP and issuing a joint concurrence for final UPWPs.

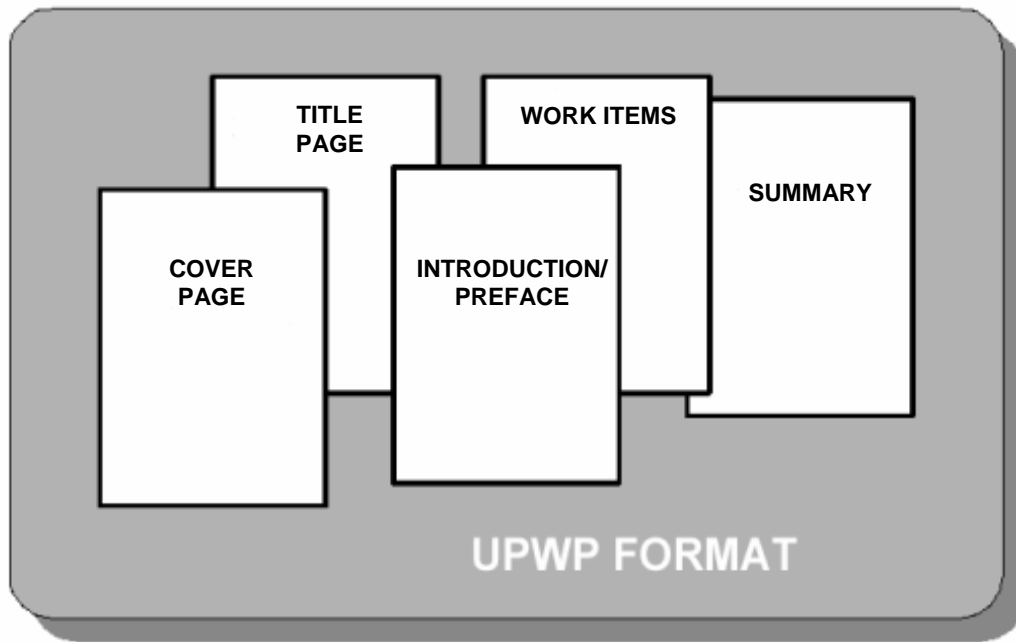
The federal regulation that guides the MPOs in developing an annual UPWP for the purpose programming, scheduling, and managing the metropolitan transportation planning activities for the program year is **23 CFR 450.308**.

The UPWP describes the planning process as well as the associated programs and activities to be performed by the MPO staff with the costs attributed to individual work elements and the source of its funding. The UPWP follows the MPO's progress in developing and maintaining: the prospectus/MOU, Transportation Plan, Transportation Improvement Program, public involvement process, Congestion Management System (in TMAs), and periodic reporting of activities.

The final UPWP shall be adopted by the MPO Policy Committee. If the MPO has a project that needs more planning funds (PL) than is allotted to them, they may request additional PL for a specific project. A timeline, checklist, and sample documents for the UPWP are included in this document.

UNIFIED PLANNING WORK PROGRAM (UPWP) CHECKLIST

	Item	Page Number and/or
FORMAT	<input type="checkbox"/> FORMAT GUIDELINES	<input type="checkbox"/>
	<input type="checkbox"/> a. Three Ring Binder	<input type="checkbox"/>
	<input type="checkbox"/> b. Dated (left hand corner)	<input type="checkbox"/>
	<input type="checkbox"/> c. Page numbers	<input type="checkbox"/>
COVER / TITLE	COVER PAGE	
	1 Name of MPO Agency and area represented	
	2 FY of UPWP	
	3 Contact information for MPO	
	4 TITLE PAGE	
	5 Name of MPO Agency and area represented	
	6 Contact Person and information	
	7 FY of UPWP	
INTRODUCTION / PREFACE	8 Agencies providing funds or support	
	INTRODUCTION/PREFACE	
	9 Table of Contents	
	10 MPO Approval Resolution-signed	
	11 Certification-signed	
	12 Prospectus or MOU	
	13 Committee Lists-responsibilities, meetings	
	14 Staff- Names, Positions and Responsibilities	
	15 Map- Regional MPO Coverage Area	
	a. Planning Boundary	
	b. Urbanized Area Boundary	
	c. * Air Quality Boundary	
	16 Planning Factors	
	17 UPWP	
	a. Definition of UPWP purpose	
	b. Summary of Previous Year's Accomplishments	
	c. Status of current activities	
WORK ITEMS	WORK ELEMENTS	
	18 UPWP	
	19 Administration	
	20 TIP –Development/Maintenance	
	21 PLAN – Development/Maintenance	
	22 * Congestion Management System (CMS) / ITS	
	23 * Transit Planning	
	24 Multimodal Planning	
	a. Bicycle/Pedestrian	
	b. Intermodal Freight	
	c. Intermodal Passenger	
	25 *Air Quality Planning	
	a. Modeling	
	b. CMAQ Application Process	
	26 Public Involvement Plan – update	
	27 Title VI / EJ Planning	
	28 Surveillance (Data Collection)	
29 Project/Corridor Studies		
30 Special Studies		
31 TSM/TDM Planning		
32 TE Planning		
SUMMARY	SUMMARY	
	33 Fiscal	
	a. Funding Sources	
	b. Costs by Work Item	
	c. Work Item by Person-Week	
	i. MPO Agency	
	ii. Consultant	
d. Schedule—Timetable		
34 Appendices		
*	As needed by each area	
NOTE: Work items should include the following:		
34 A	Work Item Title and Number	
34 B	Objective / Purpose	
34 C	Previous work (if applicable)	
34 D	Methodology	
34 E	Product	
34 F	Time frame	
34 G	Cost	
	i. Person-week	
	ii. Agency Responsible	
	iii. Funding Source	
NOTE: Items do not have to appear in this order.		



FORMAT GUIDELINES

The UPWP must be bound, contain the date in the left-hand corner of each page, and have every page numbered.

The contents of the UPWP shall include:

COVER PAGE / TITLE PAGE

- | | |
|--------------------------------|--|
| Corresponding
Checklist No. | Cover Page includes: |
| 1 | Name of the MPO Agency and area represented (i.e. county(s), city(s)); |
| 2 | State or Federal fiscal years the UPWP covers; and |
| 3 | MPO website address, mailing address, telephone and fax numbers. |

- | | |
|--------------------------------|--|
| Corresponding
Checklist No. | The Title Page includes: |
| 4 | Title Page |
| 5 | Name of the MPO Agency and area represented (i.e. city(s), county(s)); |

Corresponding Checklist No.	The Title Page includes (continued):
6	Name of MPO contact Person and corresponding phone number and/or email address. This can be either the Executive Director or Transportation Director;
7	State or Federal fiscal years the UPWP covers; and
8	Identification of agencies providing funds for the UPWP.

INTRODUCTION / PREFACE

Corresponding Checklist No.	Introduction / Preface section includes:
9	Table of Contents;
10	Fully executed MPO Resolution (example page 11);
11	Fully executed Federal self certification (example page 10);
12	Prospectus which identifies and discusses the operational procedures and bylaws or fully executed copy of the MOU; to be evaluated annually.
13	List of MPO committees with membership, representatives, structure, purpose, officers, and voting procedures;
14	Identification of the primary MPO staff agency employees, contact information, and responsibility in the UPWP metropolitan area transportation planning process. The responsibilities can include work on LRTP, TIP, bike/ped, freight, TDM, etc.;
15	A map of the regional MPO area identifying the planning boundary, urbanized area boundary, and air quality boundary. Denote the last time the map was modified;
abc	
16	A discussion of the planning priorities for the metropolitan planning area as well as the 8 planning factors from SAFTEA-LU and subsequent legislation;
17a	A brief definition of the UPWP purpose;
17b	A summary of previous year's accomplishments. This can include studies completed, model status, number of TIPs/LRTPs/ Amendments, data collected, etc.;
17c	A current overview of the status of comprehensive transportation planning activities including the regional, county, and city level. This includes current activities from the date written and those projected through the end of the present UPWP year ;

WORK ELEMENTS

The MPO Work Elements Section consists of descriptions of the major work products and tasks the MPO proposes to undertake. This section should include individual task sheets that describe each task in the same format. Each item shall have:

- (A) Task number and title including budget money for the item and persons working on it;
- (B) Purpose of study or work item identifying at least 2 objectives;
- (C) Previous work completed if a continuing item;
- (D) Proposed methodology
 - i) How the task will be performed
 - ii) Who will perform the task including consultant or staff members;
- (E) End product(s) including documents, new processes, model changes, etc.
- (F) A schedule that adequately describes when the activities will take place during the year including:
 - i) A schedule of milestones or benchmarks to be used to measure progress; and
 - ii) Estimated completion date(s).
- (G) Cost
 - i) Estimate the number of person-weeks by position (i.e. planner, GIS, executive);
 - ii) Responsible agency or agencies, if applicable; and
 - iii) Proposed funding source(s) with anticipated costs for each task.

The Work Elements section also includes:

Corresponding
Checklist No.

Work Elements include:

- 18** **UPWP:** Tasks required to complete the UPWP for the next year and to coordinate activities/reports for the present document.
- 19** **Administration:** The administration section describes task functions required to manage the transportation planning process on a continual basis including program administration, development, review and reporting, anticipated staff development and an annual audit as required by **23 C.F.R. 420.121(c)**. The annual audit shall be performed in accordance with **49 C.F.R. 18.26**, **49 C.F.R. part 90**, **OMB Circular A133**, and **Section 215.97, F.S.**
- 20** **Transportation Improvement Program (TIP):** Tasks required for the development and management of the TIP should be listed and described.

Corresponding
Checklist No.

Work Elements include (continued):

- 21** **Long-Range Transportation Plan (LRTP):** This section addresses the planned actions to be taken in this UPWP for developing the LRTP.
- 22** **Congestion Management Process (as needed by TMAs) / ITS:**
The CMP is a systematic process that provides information on transportation system performance and alternative strategies to alleviate congestion and enhance the mobility of persons/goods. A CMP includes methods to monitor/evaluate performance, identify alternative actions, assess & implement cost-effective actions, and evaluate the effectiveness of implemented actions. This section should include tasks used to promote transit and ridesharing programs, promote high occupancy vehicles, increase the efficiency of a traffic system, develop performance measures to evaluate a transportation system, as well as provide approval of all capacity adding projects included in the LRTP and TIP.
- 23** **Transit Planning:** If needed by the area, this should address tasks related to transit planning including ridership promotions and opportunities for the transportation disadvantaged.
- 24** **Multimodal Planning:** This includes the tasks used for bicycle/pedestrian, intermodal freight, and intermodal passenger planning. Included should be a discussion on how the MPO coordinates to provide assistance to the general public, municipal governments, and other state agencies in the planning and development of bicycle and pedestrian facilities/programs. Also included should be a discussion on how the tasks are addressing increasing freight problems in the MPO area.
- 25** **Air Quality Planning:** This section, when applicable, includes a description of the metropolitan transportation air quality planning activities anticipated in the area, regardless of funding sources or agencies conducting air quality activities. Also included are activities necessary for the conformity analysis and documentation for MPOs in nonattainment and maintenance areas and any tasks related to developing State Implementation Plan submissions.
- 26** **Public Involvement:** This section describes the tasks necessary to implement the MPO's public involvement program during the development of the UPWP, LRTP, TIP, and other plans and programs as required. It should also include a description of the public involvement process used in the development of the UPWP including a Title VI / Environmental Justice statement. This item is to be evaluated annually.
- 27** **Title VI / EJ Planning:** Describes the procedures used to assure federal compliance for all MPO related activities. To be evaluated annually.

Work Elements include (continued):

- 28 Data Collection:** This section includes work tasks needed to monitor area travel characteristics and factors affecting travel such as socioeconomic, community and land use data, transportation system data, natural, physical, and human environmental concerns and issues.
- 29 Project/Corridor Studies:** This includes the tasks necessary to perform project or corridor studies in the MPO area. It can include a discussion on planning tasks that develop a conceptual purpose and need statement, identify major environmental issues including environmental justice, initiate consultation with local officials, initiate agency coordination, involve the public early and often for projects in the long range plan, identify and evaluate alternatives, generate project cost estimates, and oversee outsourced activities. Also included can be discussions on brief technical project studies, interchange justification studies, and/or other special studies.
- 30 Special Project Planning:** The special project planning section provides a more detailed description of planning tasks needed for projects such as bicycle, airport, riverport, freight or special transit studies.
- 31 TSM/TDM Planning:** TSM (Transportation System Management) is a planning approach designed to improve transportation systems by moving people and goods more efficiently and effectively. This can include work items that improve the existing transportation system by reducing delay and/or eliminating the need to develop new expensive transportation facilities. TDM (Transportation Demand Management) focuses on reducing or changing travel demand rather than increasing transportation supply, thereby increasing the efficiency of the transportation system. This includes work items that modify travel behavior, using measures which either eliminate trip making, change the time of day trips are made, or accommodate person trips in fewer vehicles.
- 32 Transportation Enhancement Planning:** This includes work tasks performed for projects utilizing transportation enhancement funds. These projects can include provision of bike/ped facilities, acquisition of scenic easements and scenic or historical sites, scenic or historic highway programs, landscaping and other scenic beautification, historic preservation, rehabilitation and operation of historic transportation buildings, preservation of abandon railway corridors, control and removal of outdoor advertising, archaeological planning and research, mitigation of water pollution due to highway runoff or to reduce vehicle-caused wildlife mortality, and establishment of transportation museums.

SUMMARY

Corresponding
Checklist No.

Work Elements include (continued):

- 33 The following budget tables identify agency participation and funding sources:
 - 33 A **Table 1: Agency Participation;** identifies participating agencies with respective funding commitments by task with line and column totals.
 - 33 B **Table 2: Funding Source;** lists current year funding by program source for each task with line and column totals.
 - 33 C Fiscal tables should include funding sources, costs by work item, total man hour per week, the MPO agency or consultant doing the work, and a schedule or timetable when tasks are to be completed.
 - 33 D See pages 12 and 13 for UPWP timetable

FEDERAL REGULATIONS

23 Code of Federal Regulations (C.F.R.) 420 (Planning and Research Program Administration)

23 C.F.R. 450.308 (Unified Planning Work Programs)

31 U.S.C. Subtitle III, Financial Management

49 C.F.R. 18 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments)

49 C.F.R. 29 (Government Debarment and Suspension (Nonprocurement) and Government wide Drug-free Workplace)

23 U.S.C. 134

49 U.S.C. 5303

Title VI of the Civil Rights Act of 1964 and the Title VI assurance executed by each state under Title 23 Section 324, United States Codes (U.S.C.) and Title 29, Section 794, U.S.C.

METROPOLITAN TRANSPORTATION PLANNING PROCESS CERTIFICATION

In accordance with 23 CFR 450.334, the Kentucky Transportation Cabinet and the [MPO Policy Board], Metropolitan Planning Organization for the [MPO area] Urbanized Area hereby certify that the transportation planning process is addressing the major issues in the metropolitan planning area and is being conducted in accordance with all applicable requirements, including:

1. 23 U.S.C. 134, 49 U.S.C. 5303, and this subpart;
2. In nonattainment and maintenance areas, sections 174 and 176 (c) and (d) of the Clean Air Act, as amended (42 U.S.C. 7504, 7506 (c) and (d)) and 40 CFR part 93;
3. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21;
4. 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;
5. Section 1101(b) of the SAFETEA-LU (Pub. L. 109-59) and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects;
6. 23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;
7. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37, and 38;
8. The Older Americans Act, as amended (42 U.S.C. 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
9. Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender; and
10. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities.

Metropolitan Planning Organization

Kentucky Transportation Cabinet

Signature

Signature

Title

Title

Date

Date

RESOLUTION XXXX

**APPROVING THE FINAL
FY XXXX UNIFIED PLANNING WORK PROGRAM
OF THE _____ URBANIZED AREA
METROPOLITAN PLANNING ORGANIZATION (MPO)**

WHEREAS, a comprehensive and continuing transportation planning program must be carried out cooperatively in order to ensure that funds for transportation projects are effectively allocated to the _____ Urbanized Area; and,

WHEREAS, a prospectus has been developed to establish a multi-year framework for this program; and,

WHEREAS, a Public Comment Period has been established and the document will be available for review and comment; and

WHEREAS, a Final Unified Planning Work Program has been developed for FY XXXX within this multi-year framework; and,

WHEREAS, members of the Metropolitan Planning Organization's Technical Coordinating Committee did agree that this Final Unified Planning Work Program will effectively advance the transportation planning program in FY XXXX;

NOW THEREFORE BE IT RESOLVED, that the Metropolitan Planning Organization's Executive Board hereby adopts the Final FY XXXX Unified Planning Work Program of the _____ Urbanized Area, and hereby certifies that the _____ Metropolitan Planning Organization is meeting all the requirements of 23 CFR, Part 450 relating to the Metropolitan Transportation Planning Process.

RESOLUTION APPROVED:

(DATE)

Authorized Signatures:

Chairman
MPO Executive Board

Chairman
Executive Staff

ATTEST:

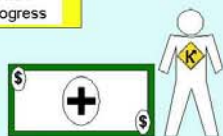
Transportation Planning Coordinator

**Required Deadlines for Submittal
of Uniform Planning Work Programs
for FY XXXX**

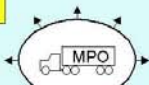
- FHWA, FTA , KYTC, & MPO reviews status on previous UPWP and TMA Certification progress.-----January
- KYTC informs MPO of PL funding level.-----January 15
- MPO sends Draft UPWP to all Partners.-----February 29
- All Partners review & comment on UPWP. Send to MPO.-----March 31
- MPO informs KYTC if extra PL funds will be needed.-----March 31
- MPO Policy Committee approves FINAL UPWP.-----April 30
- MPO sends Approved UPWP to all Partners.-----May 1
- KYTC sends letter to FHWA for eligibility determination of work elements.-----May 7
- FHWA approves UPWP and approves Programming docs.-----June 1
- KYTC sends MPO contract agreements for signature.-----June 21
- All documents are in place to start UPWP.-----July 1



FHWA, FTA, KYTC, and
MPO Review previous
UPWP and TMA
Certification Progress



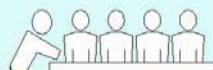
KYTC informs MPO
of PL funding level



MPO sends DRAFT UPWP
to all partners



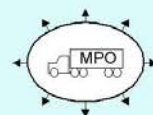
All Partners review and
comment on DRAFT UPWP;
FHWA checks for eligibility



MPO Policy Committee
approves FINAL UPWP



MPO informs KYTC if extra
PL funds are needed



MPO sends FINAL UPWP
to all partners



KYTC sends letter to FHWA
for eligibility determination
on work elements



FHWA writes letter finding
UPWP eligible for PL funds
(pro forma)



KYTC sends MPO contract
agreements for signature



All documents
in place



TIMELINE FOR UNIFIED PLANNING WORK PROGRAMS (UPWP)

updated 10/16/03



-7 mo

-5 mo

-4 mo

-3 mo

-2 mo

-1 mo

0

January 2004

January 15, 2004

February 29, 2004

March 31, 2004

April 30, 2004

May 1, 2004

May 7, 2004

June 1, 2004

June 21, 2004

July 1, 2004